

Form PTO-1449 (Substitute)	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	Attorney Docket Number HVWD-01001US0	Serial/Patent Number 09/648,211
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary)		Applicant/Patent Owner John S. Flowers et al.	
		Filing/Issue Date August 25, 2000	Group Art Unit Unknown

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U.S. PATENT DOCUMENTS

Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date
AM		5,892,903	04/06/99	Klaus	395	R187.01	09/12/96
AM		5,136,523	08/04/92	Landers	395	54	03/26/91
AM		5,278,901	01/11/94	Shieh et al.	380	4	04/30/92
AM		5,802,320	09/01/98	Baehr et al.	395	200.79	05/18/95

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Examiner Initial		Document Number	Date	Country	Class	Subclass	Trans-lation Yes No

OTHER DOCUMENTS (Include Author, Title, Date, Pertinent pages, etc.)

AM	Rebecca Bace, Infidel, Inc. "An Introduction to Intrusion Detection and Assessment", 1999, 38 pages.
AM	Fyodor, "Remote OS detection via TCP/IP Stack FingerPrinting", October 18, 1998, 10pages.

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Date Considered

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*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

Sheet

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Complete if Known	
Application No.	09/648,211
Filing Date	August 25, 2000
First Named Inventor	John S. Flowers <i>et al.</i>
Art Unit	2131
Examiner Name	Gail O. Hayes

Attorney Docket Number 23327-06895

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document No.	Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
AM	A1	US- 5,278,901	01-11-1994	Shieh <i>et al</i>
AM	A2	US- 5,796,942	08-18-1998	Esbensen
AM	A3	US- 5,798,706	08-25-1998	Kraemer <i>et al.</i>
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AM	A6	US- 5,958,015	09-28-1999	Dascalu
AM	A7	US- 5,991,881	11-23-1999	Conklin <i>et al.</i>
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AM	A20	US- 6,363,489 B1	03-26-2002	Comay <i>et al.</i>
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AM	B1	WO 01/31420 A2	05-03-2001	Visa International Service Association	
AM	B2	WO 02/45380 A2	06-06-2002	Lancope, Inc.	

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Attorney Docket Number 23327-06895

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OTHER REFERENCES – NON-PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
IP	C1	Abstract, W. Erhard, et al., "Network Traffic Analysis and Security Monitoring With UniMon", Proceeding of the IEEE Conference on High Performance Switching and Routing, 2000, ATM 2000, pp 439 – 46 (June 2000).	
DEC 03 2002 AM	C2	Abstract, Dept. of Comput. Sci., California Univ., Davis, CA, USA, "A Methodology For Testing Intrusion Detection Systems", IEEE Transactions on Software Engineering, Vol. 22, Issue 10, pp 719-29 (October 1996).	
AM	C3	Abstract, Mounji A. Le Charlier, et al., "Distributed Audit Trail Analysis", Proceeding of the Symposium on Network and Distributed System Security, 1995, pp 102 – 12 (Feb 16 – 17, 1995).	
AM	C4	Abstract, L.T. Heberlein, et al., "A Network Security Monitor" Proceeding of the 990 IEEE Computer Society Symposium on Research in Security and Privacy, pp 296-04, (May 7 – 9, 1990).	
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AM	C6	Abstract, D.G. Schwartz et al., "A Case-Based Approach To Network Intrusion Detection", Proceeding of the 5th International Conference on Information Fusion, 2002. Vol. 2 pp 1084 – 89 (July 8 – 11, 2002).	
AM	C7	Abstract, "Open Source Security: Opportunity or Oxymoron?" Computer, Vol. 35, Issue 3, pp 18 – 21 (March 2002).	
AM	C8	Abstract, Liu Dihua, et al. "Data Mining For Intrusion Detection", Proceedings ICII 2001 – Beijing 2001 International Conference on Info-Tech and Info-Net, 2001, Vol. 5, pp 7 – 12, (October 29 – November 2001).	
AM	C9	Abstract, Kai Hwang & M. Gangadharan, "Micro-Firewalls for Dynamic Network Security With Distributed Intrusion Detection", NCA 2001 IEEE International Symposium on Network Computing and Applications, 2001. pp 68 – 79, (October 8 – 10, 2001).	
AM	C10	Abstract, Wenke Lee Stolfo, et al., "Real Time Data Mining-Based Intrusion Detection", Proceedings DARPA Information Survivability Conference & Exposition II, 2001, DISCEX '01. Vol. 1, pp 89 – 100 (June 12 – 14, 2001).	

Examiner Signature	<i>John S. Flowers</i>	Date Considered	12/12/03
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				Examiner Name	Gail O. Hayes
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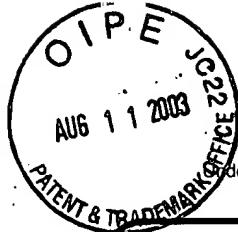
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Application No.	09/648,211
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Art Unit	2131
Examiner Name	Ayaz R. Sheikh

Attorney Docket Number

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U.S. PATENT DOCUMENTS				
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AM	A2	US-6,269,447 B1	07/31/2001	Maloney et al.
AM	A3	US-5,699,403	12/16/1997	Ronnen
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AM	C1	"Microsoft Computer Dictionary Fifth Edition," 2002, 6 pages		
AM	C2	ANDERSON, TERESA, "Hunting for Holes," Security Management, Arlington, April 1996, 2 pages		
AM	C3	BREYFOGLE, STACEY, "Don't Stop at Your Servers," Software Magazine, Englewood, January 1998, pp. 1-3		
AM	C4	JOHNSON, JOHN A TILL, "Simulated Attack for Real Network Security," Data Communications, November 2, 1995, pp 31-32		

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Application No.	09/648,211
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Art Unit	2131
Examiner Name	Aravind K. Moorthy

Sheet

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U.S. PATENT DOCUMENTS				
Examiner Initials*	Cite No. ¹	Document No.	Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
AN	A	US 6,609,205 B1	08/19/2003	Bernhard et al.
AN	B	US 6,484,315 B1	11/19/2002	Ziese
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FOREIGN PATENT DOCUMENTS				
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Examiner Signature	<i>Aravind K. Moorthy</i>	Date Considered	12/8/03
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